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**DATE:** February 12, 2004 **TIME:** 2:30 p.m. (Denver)

NUMBER OF PAGES (including this page): 16 F&B FILE: 249728 REC:

## MESSAGE

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Christopher L. Jones et al. Atty. Docket No.: 59036-249728  
Title: Identifying a Recommended Portfolio of Financial Products for an Investor Based Upon  
Financial Products That Are Available to the Investor  
Serial No.: 09/495,982 Examiner: Thomas A. Dixon  
Filing Date: 02/01/2000 Group Art Unit: 3629  
Confirmation No.: 5534

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ON 2/12/2004.

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**Attached Correspondence:** 1) Transmittal Form  
2) Amendment and Response to Office Action mailed 12/17/2003

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PTO/SB/21 (08-03)

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

15

Application Number

08/495,982

Filing Date

02/01/2000

First Named Inventor

Christopher L. Jones

Art Unit

3629

Examiner Name

DIXON, T

Attorney Docket Number

58036-249728

**ENCLOSURES (check all that apply)**

- Fee Transmittal Form  
 Fee Attached  
 Amendment / Reply  
 After Final  
 Affidavits/declaration(s)  
 Extension of Time Request  
 Express Abandonment Request  
 Information Disclosure Statement  
 Certified Copy of Priority Document(s)  
 Response to Missing Parts/ Incomplete Application  
 Response to Missing Parts under 37 CFR 1.52 or 1.53

- Drawing(s)  
 Licensing-related Papers  
 Petition  
 Petition to Convert to a Provisional Application  
 Power of Attorney, Revocation Change of Correspondence Address  
 Terminal Disclaimer  
 Request for Refund  
 CD, Number of CD(s)

- After Allowance Communication to Group  
 Appeal Communication to Board of Appeals and Interferences  
 Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  
 Proprietary Information  
 Status Letter  
 Other Enclosure(s) (please identify below):  
 Fax transmittal sheet

## Remarks

Please charge any shortage of fees to our Deposit Account No. 06-0029.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
individual nameMichael A. DeSantis  
Faegre & Benson LLP

Signature

February 12, 2004

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Typed or printed name

Denise E. Vons

Signature

*Denise E. Vons*

Date

February 12, 2004

This collection of information is required by 37 CFR 1.3. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.  
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Our Docket No: 59036-249728

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Christopher L. Jones

Examiner: Dixon, T.

Application No: 09/495,982

Art Unit: 3629

Filed: February 1, 2000

Confirmation No.: 5534

For: IDENTIFYING A RECOMMENDED  
 PORTFOLIO OF FINANCIAL PRODUCTS  
 FOR AN INVESTOR BASED UPON  
 FINANCIAL PRODUCTS THAT ARE  
 AVAILABLE TO THE INVESTOR  
 (as amended)

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

**OFFICIAL****AMENDMENT AND RESPONSE TO OFFICE ACTION**

Sir:

In response to the Office Action mailed December 17, 2003, the Applicant respectfully requests the Examiner to enter the following amendment and to consider the following remark.

**CERTIFICATE OF FACSIMILE**

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FEBRUARY 12, 2004

Date of Deposit

DENISE E. VORIS  
 Name of Person Mailing Correspondence
Denise E. Voris  
Signature

Date

2/12/2004

Docket No. 59036-249728

PAGE 3/16 \* RCVD AT 2/12/2004 4:27:34 PM [Eastern Standard Time] \* SVR:USPTO-EFXRF-1/5 \* DNIS:3729306 \* CSID:3036073600 \* DURATION (mm:ss):04:14

## AMENDMENT

### Amendment to the Title:

Please amend the title as follows:

Identifying a Recommended Portfolio of Financial Products for an Investor Based Upon  
Financial Products That are Available to the Investor Financial Advisory System